

SUBJECT:	Fermilab Assessment Manual – Chapter 4 Independent QA Assessment Procedure – Form 2	NUMBER:	3902.1004 FORM 2
RESPONSIBILITY:	Quality Assurance Manager	REVISION:	001.4
APPROVED BY:	Head, Office of Quality and Best Practices	EFFECTIVE:	11/15/2011

Fermilab Independent QA Assessment Report	
Assessment Number & Title: 12-QA-013 BSS – Work Processes	Version: 1
Date(s) of Assessment: 6/11/12 - 6/13/12	
Performing Organization: Office of Quality & Best Practices	
<p>Assessed Organization(s): Business Services Section (BSS) including Transportation Services, Receiving Department</p> <p>According to the Business Services Section web site, all incoming material (FedEx, UPS, vendor delivered freight, equipment, supplies, etc.) is processed by the Receiving Department before transport to the final destination by the Distribution Department. The Basic Receiving Operation procedure indicates that processing consists of receipt of materials, examination of materials, management of discrepancies, special handling of radioactive and hazardous materials, direct delivery of purchase orders, and management of drop shipments.</p>	
<p>Assessment Activities & Scope:</p> <p>Implementation and effectiveness of controls for Work Processes described in IQA chapter five and BSS requirements were examined via interview, observation, and document review.</p> <p>Scope Limitations:</p> <ul style="list-style-type: none"> • IQA section 5.4.4, Calibration, had previously been assessed and was out of scope. • IQA sections 5.4.6, Transferring the results of research, and 5.5, Software, were not applicable and were out of scope. • The Receiving function was examined for Purchase Orders (POs) only. <p>Activities Reviewed Within this Assessment:</p> <ul style="list-style-type: none"> • Supervision of the Receiving Department • Receipt of material • Examination of material • Entering order information into the ORACLE Electronic Business Suite (EBS) system • Preparation of material for delivery <p>Description of the Implementation & Effectiveness of Observed Activities:</p> <p><u>Work Processes</u></p> <p>The applicable requirements of IQA Chapter Five, Work Processes, are met and are effectively implemented within Business Services Section, Receiving Department. The assessment examined the Receiving Department to determine how material is received, processed, and prepared for delivery within Fermilab. Personnel within the Receiving Department were interviewed and observed performing work to determine how they fulfill the requirements of the BSS Basic Receiving Operation procedure.</p> <p>The assessment team verified through interviews and direct observation of work activities that general, receipt, and examination of materials sections of the Basic Receiving Operation procedure were being followed. The team observed packages being: unloaded from a United Parcel Service (UPS) truck, verified</p>	

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as Fermilab material, counted, examined for damage, and signed for. The team then observed removal of vendor packing lists (File01, File02) from packages, verification of items shown on the packing lists with the purchase order in EBS, entry of the order in ORACLE, printing and attachment of Fermilab packing lists (EBS Receipt Travelers) (File03, File04) and Fermilab delivery tickets (File05, File06) to the packages.

Although the team was unable to observe implementation of all sections of the procedure such as receiving of damaged, radioactive, or hazardous materials because they did not occur during the assessment, persons interviewed demonstrated an understanding of those requirements consistent with all sections of the procedure.

Implementation of applicable IQA work process controls was verified. The team observed and employees corroborated that management supplies sufficient resources to accomplish work objectives and that opportunities for process improvement suggestions are available; persons interviewed felt comfortable suggesting improvements to their procedure and work tasks. The roller-conveyor observed in Receiving was cited as an example of an implemented employee process improvement suggestion. People performing the receiving function have sufficient skills and training to accomplish work objectives. Up to date training records were observed for all interviewees including: Back Works (2 classes), Forklift operator (3 classes), Hazard Communication, Hydrofluoric acid handling, and Radiological worker (2 classes) or GERT. The team observed that facilities are maintained in a sufficient state of order, cleanliness, and repair to accomplish work objectives and that equipment maintenance is performed as evidenced by initialed weekly fork lift internal maintenance checklists for the Clark forklift ID 86427 (File 07), and signed biannual fork lift sub-contractor (First Access) maintenance logs for the Toyota forklift ID 50063 (File08)

Conclusions:

Experienced and knowledgeable BSS Receiving Department personnel are effective in executing the Basic Receiving Operation procedure. Three of the seven major sections of the procedure were verified through direct observation and persons interviewed demonstrated an understanding of the remaining sections consistent with the procedure. IQA Work Process controls were verified through observation of work, examination of records, and interviews. All persons interviewed had up-to-date training records for receiving related training.

Findings:

None

Observations and Recommendations:

None

Commendable Practices:

None

Persons Interviewed:

- Erik Bainbridge

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- Dennis McAuliff
- Brian Niesman
- Tom Smith
- Lorraine Walter-Smith

Documents Reviewed:

- BSS Basic Receiving Operation procedure revision 1/28/09

Attachments:

- File01-ASHI-packlist
- File02-Newark-packlist
- File03-Fermi-ASHI-packlist
- File04-Fermi-Newark-packlist
- File05-Fermi-ASHI-delticket
- File06-Fermi-Newark-delticket
- File07-clarkmaint-checklst
- File08-Toyotamaint-log

Standards, Regulations, and Other Program Requirements Applied:

The specific criteria applied to this assessment were:

- 1001, IQA revision two, Chapter five, Work Processes

Corrective Action Plans Issued:

None

Assessors' Names (asterisk indicates team leader):

- Adam Bracero – Technical Division
- John Martzel* - OQBP

Submitted by: John Martzel

Date: 6/21/2012

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